

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DISCR	IN VIVO ETE DOMAIN AND	IS CD4 ⁺ T CELL-	N BY HEAT SHOCK PROTEIN I INDEPENDENT	<u>-0810</u>	N PKC	TEI	1/2 IV	IAPS	10 A
the spec	cification of which (c	heck one)	,						
[]	is attached hereto.								
[X]	was filed on <u>Janua</u>	ry 16, 2001 as l	United States Application						
	Number or PCT Int	ernational Applicat	ion No. 09/761,534						
	and was amended on (if applicable).								
includir	I hereby state that I	have reviewed and	understand the contents of the aboment referred to above.	ve-idei	ntified	spec	ificati	ion,	
defined	I acknowledge the on 37 C.F.R. §1.56.	luty to disclose info	rmation which is known by me to	be mate	erial to	pate	entabi	lity a	s
country any fore	nt or inventor's certif other than the United	icate or 365(a) of and 1 States of America, atent or inventor's c	under 35 U.S.C. 119(a)-(d) or 365 my PCT international application we listed below and have also identificate, or of any PCT internationally is claimed:	hich de ied bel	esignat ow, by	ted a	t least cking	one the b	ox,
		<u>Pric</u>	or Foreign Application(s)	N	ority ot imed	Y	Certi Copy ES	Filed	
(Numbe	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
(Numbe	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
(Numbe	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
I hereby	claim the benefit un	der 35 U.S.C. §119	(e) of any United States provisions	ıl appli	cation((s) li:	sted b	elow	•
60/176,	143 ation Number)		January 14, 2000 (Filing Date)			-			
(whhiic	adon Number,		(1 ming Date)						
(Applic	ation Number)		(Filing Date)			-			

PCT/US00/32831		December 1, 2000	pending
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
Hamilton, Brook, Smi Customer No. 2100 and Patricia Gran Nine Cambrid	th & Reyno 05, ahan, Esq. lge Center	olds, P.C., Two Militia , Registration No. 32,7 , Cambridge, Massach	
_			the Patent and Trademark Office connected therewith.
Please send corresp	ondence to) :	-
[X] Customer No.		21005 HAMILTON, BROC Two Militia Drive Lexington, MA 0242	OK, SMITH & REYNOLDS, P.C.
Direct telepho	ne calls to:	Anne J. Collins	Telephone No.: 781-861-6240
Direct facsimi	es to:	Anne J. Collins	Facsimile No.: 781-861-9540
on information and beli that willful false statem	ef are belie ^s ents and the United State	ved to be true; and furth like so made are punis es Code and that such w	of my own knowledge are true and that all statements made ner that these statements were made with the knowledge hable by fine or imprisonment, or both, under Section willful false statements may jeopardize the validity of the
Full name of sole	-		
or first inventor	Qian Hı	lang	
Inventor's Signature			Date
Residence	79 Beve	rly Road	
	Arlingto	on, Massachusetts 0247	74
Citizenship	China P	.R.	
Post Office Address	Same as	above	

Full name of second joint			
inventor, if any	Joan F.L. Richmond		
Inventor's Signature 5	ter helico	Date _	3.13.01
Residence	<u> </u>		
	Arlington, Massachusetts 02474		
Citizenship	U.S.		
Post Office Address	Same as above		
Full name of third joint			
inventor, if any	Bryan K. Cho		
Inventor's Signature		Date	
Residence	1680 Daily Court		
	San Leonardo, California 94577		
Citizenship	U.S.		
Post Office Address	Same as above.	-	
Full name of fourth joint			
inventor, if any	Deborah Palliser		
Inventor's Signature		Date	
Residence	12-16 Ellery Street, Apt. 105		
	Cambridge, Massachusetts 02138		
Citizenship	Great Britain		
Post Office Address	Same as above.		
-		<u> </u>	
Full name of fifth joint			
inventor, if any	Jianzhu Chen		
Inventor's Signature		Date	
Residence	17 Stearns Road, #6		
	Brookline, Massachusetts 02146		
Citizenship	U.S.		
Post Office Address	Same as above.		

Full name of sixth joint	İ	
inventor, if any	Herman N. Eisen	
Inventor's Signature		Date
Residence	9 Homestead Street	
	Waban, Massachusetts 02468	
Citizenship	U.S.	-
Post Office Address	Same as above.	
-		
Full name of seventh jo	pint	
inventor, if any	Richard A. Young	
Inventor's Signature		Date
Residence	216 Highland Street	
	Weston, Massachusetts 02493	
	U.S.	
Post Office Address	Same as above.	
	-	

::ODMA\MHODMA\iManage;201289;1

DOCKET NO. 0399.2006-003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

s named in color, I hereby declare that

My residence, post office address and consenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural name are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DISCR	IN V VO ETE DOMAIN ANI	CTL ELICITATION DIS CD4" T CELL-I	I BY HEAT SHOCK PROTEIN (NDEPENDENT	USION	PROT	EIN	3 MA	PS 7	<u>A O'</u>
the spe	cification of which (c	theck one)					-		
[]	is attached he cio.								
[X]	was filed on Janu	ary 16, 2001 as 1	United States Application						
[~]			non No. <u>09/761_534</u>					_	
		OR(
				id	nfied .	necil	ficabl	an a	
lud	I hereby state that	I have reviewed and ended by any amend	understand the contents of the abo ment referred to above	14C-10Eff	mrc .	Poer		,	
	I scknowledge the	duty to disclose info	ormstion which is known by me to	be mate	nal to	pate	nzapr]	11y 8	;
count	ichi ol magniol, I cell	ificate of 355(8) of the colorest of America patent of inventor's inventor's incarion on which principles.	s under 35 U.S.C. 119(a)-(d) or 36 my PCT international application a, listed below and have also ident certificate, or of any PCT internationity is claused.	ified belo ional app Pric	ow, by dication	chec n ha	king	the b filit	00x, 1 g ?
			•	,	1	ſ	1	ſ	١
Nun	ahae)	(Country)	(Day/Month/Year filed)	— l	3	L	1	ı	1
(14mm	1001)	(30,223)		ſ	1	ſ	1	[1
Nun	nber)	(Country)	(Day/Month/Year filed)	- `	•	•	•		
•	•			_ []	Ĺ]	ĺ	}
(Nun	nbcr)	(Сощту)	(Day/Month/Year filed)						
I her	eby claim the benefit	under 35 U.S C §11	19(e) of any Umied States provision	nal appl	ication	(s) h	sted	belov	v.
60/1 (Apr	76.143 dication Number)		January 14, 2000 (Filing Date)		**				
(Ap)	plication Numbe ()		(Filing Date)						

2003

-2-

PCT/US00/32831	December 1, 2000	pending			
(Application Sensi No	(Filing date)	(Status: patented, pending, abandoned)			
(Application Serial No	(Filing date)	(Status: patented, pending, abandoned)			
(Application Serial No.	(Filing date)	(Status: patented, pending, abandoned)			
(Application Senal No.	(Filing date)	(Status: patented, pending, abandoned)			
Hamilton, Brook, Smi Customer No. 210	15,	rive, Lexington, Massachusetts 02421-4799			
and Patricia Grat Nine Cambrie	ahan, Egg., Registration No. 32.227 ge Center, Cambridge, Massachus	7, of Whitehead Institute for Bjomedical Research, etts 02142.			
		s Patent and Trademark Office connected therewith.			
Please send corres					
X Customer No. 21005 HAMILTON, BROOK, SMITH & REYNOLDS, P.C. Two Militie Drive Lexington, MA 02421-4799					
Direct telepho	ne calls to: Anne J. Collins	Telephone No.: 781-861-6240			
Direct facsimi	es to. Anne J Collins	Facsimula No.: 781-861-9540			
on information and belt that willful false sinter.	of are believed to be true; and further tents and the like so made are punisha United States Code and that such will	my own knowledge are true and that all statements made that these statements were made with the knowledge ble by fine or impresonment, or both, under Section fulls false statements may jeopardize the validity of the			
full name of sole					
or first inventor	Oran Huane				
Inventor's Signature	10-a throng	Date 9/26/01			
Residence	79 Beverly Road				
	Arlington Massachusetts 02474				
Cinzenship	China P.R.				
Post Office Address _	Same as above				

2004

-3-

Full name of second join			
_	Jose F.L. Richmond		
		•	
	11 Palmer Street		
	Arlungton, Massachusens 02474		
	U.S		
	Same as above		_
Full name of third joint			
inventor, if any	Bryan K Cho		
Inventor's Signature		Date	
Residence	1680 Daily Court		
	San Leonardo, California 94577		
Citizenship	US.		
	Same as above		
Full name of fourth joint	W		_
inventor, if any	Deborah Palliser		
Inventor's Signature		Date	
Residence	12-16 Ellery Street, Apt. 105		
	Cambridge, Massachusens 02138		
Citizenship	Great Britsin		
	Same as above.	·	
Full name of fifth joint			
inventor, if any	Junehu Chen		
Inventor's Signature		Date	
Residence	17 Stearns Road, #6		
	Brookline, Massachusetts 02146		
Citizenship	U.S.		
Post Office Address	Same as above.		_
			_

ODMANGIODMANMINGS 201281

2005

4

Full name of sixth joint		_	
mventor, if any	Herman N. Eusen		
		Date	
	9 Homestead Street		
	Waban, Massachusetts 02468		
	U.S		
Post Office Address	Same as above		_
Full name of seventh jo			,
inventor, if any	Richard A. Young		
inventor, if any			
inventor, if any Inventor's Signature	Richard A. Young	Date	
inventor, if any	Richard A. Young	Date	
inventor, if any Inventor's Signature Residence	Richard A. Young 216 Highland Street	Date	

WHI99-23



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DISCR	IN VIVO ETE DOMAIN AN	D IS CD4 ⁺ T CELI	ON BY HEAT SHOCK PROTEIN INDEPENDENT	FUSIO	<u> </u>)] EI	NSN	1APS	<u> 10 A</u>
the spe	cification of which (check one)				_			
[]	is attached hereto.								
[X]	was filed on Janu	ary 16, 2001 as	s United States Application						
	Number or PCT In	nternational Applica	ation No. 09/761,534						
	and was amended	on	(if applicable).						
includi	I hereby state that	I have reviewed an	d understand the contents of the ab	ove-ide	ntified	spec	ificat	ion,	
defined	I acknowledge the l in 37 C.F.R. §1.56.		formation which is known by me to	be mat	erial to	pate	entabi	ility a	ıS
country any for	ent or inventor's cert	ificate or 365(a) of ed States of Americ patent or inventor's	ts under 35 U.S.C. 119(a)-(d) or 36 any PCT international application ca, listed below and have also ident certificate, or of any PCT international is claimed:	which d ified bel	esignat ow, by	ted a	t leas cking	t one the l	oox,
		<u>Pr</u>	rior Foreign Application(s)	N	ority ot imed		Cert Copy ES	Filed	l? !O
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
(Numb	er)	(Country)	(Day/Month/Year filed)	[]	[]	[]
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
I hereb	y claim the benefit u	nder 35 U.S.C. §11	9(e) of any United States provision	ıal appli	cation	(s) li	sted b	oelow	<i>'</i> .
60/176 (Applic	.143 cation Number)		January 14, 2000 (Filing Date)				 	 _	
(Applic	cation Number)		(Filing Date)		-				

PCT/US00/32831		December 1, 2000	pending
(Application Serial No.)		(Filing date)	(Status: patented, pending, abandoned)
() () () () () () () () ()		(Filtre 1-4-)	(Status actuated mording abandoned)
(Application Serial No.)		(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)		(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)		(Filing date)	(Status: patented, pending, abandoned)
Hamilton, Brook, Smith Customer No. 2100	h & Reyno 5,	olds, P.C., Two Militia D	s and/or agents associated with Prive, Lexington, Massachusetts 02421-4799
and Patricia Grana Nine Cambridge	han, Esq.	, Registration No. 32,22' Cambridge, Massachus	7, of Whitehead Institute for Biomedical Research, setts 02142.
			e Patent and Trademark Office connected therewith.
Please send correspo	ondence to) :	
[X] Customer No.		21005 HAMILTON, BROOK Two Militia Drive Lexington, MA 02421-	z, SMITH & REYNOLDS, P.C. 4799
Direct telephone	e calls to:	Anne J. Collins	Telephone No.: 781-861-6240
Direct facsimile	s to:	Anne J. Collins	Facsimile No.: 781-861-9540
on information and belie that willful false statemer	f are belied thats and the solution of the	ved to be true; and further like so made are punisha es Code and that such will	my own knowledge are true and that all statements made that these statements were made with the knowledge ble by fine or imprisonment, or both, under Section Iful false statements may jeopardize the validity of the
Full name of sole			
or first inventor	Qian Hı	lang	
Inventor's Signature			Date
Residence	79 Beve	erly Road	
	Arlingto	on, Massachusetts 02474	
Citizenship	China P	.R	
Post Office Address	Same as	above	

Full name of second join	t	
inventor, if any	Joan F.L. Richmond	
Inventor's Signature		Date
•	11 Palmer Street	
	Arlington, Massachusetts 02474	
	U.S.	
Post Office Address	Same as above	
Full name of third joint		
inventor, if any	Bryan K. Cho	
Inventor's Signature		Date
Residence	1680 Daily Court	
	San Leonardo, California 94577	
Citizenship	U.S.	
	Same as above.	
Full name of fourth joint		
inventor, if any	Deborah Palliser -	
Inventor's Signature		Date
Residence	12-16 Ellery Street, Apt. 105	
	Cambridge, Massachusetts 02138	
	Great Britain	
	Same as above.	
Full name of fifth joint		
inventor, if any	Jianzhu Chen	
Inventor's Signature		Date
Residence	17 Stearns Road, #6	
	Brookline, Massachusetts 02146	
Citizenship	U.S.	
Post Office Address	Same as above.	
· · · · · · · · · · · · · · · · · · ·		

Full name of sixth joint		
inventor, if any	Herman N. Eisen	
Inventor's Signature		Date
Residence	9 Homestead Street	
	Waban, Massachusetts 02468	
Citizenship	U.S.	
Post Office Address	Same as above.	
Full name of seventh jo	, /	
Inventor, if any Inventor's Signature	Richard A. Young	Date 3/15/01
	016 11:11: 104:4	
Citizenship	U.S.	
Post Office Address	Same as above.	
::ODMA\MHODMA\iManage;201289;	;1	

Declaration for Patent Application

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration

As an armed inventor, I hereby declare that:

*My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DISCI	RETE DOMAIN AN		L-INDEPENDENT	· FUSIC	<u> </u>	J112.	11101	VIAI	, 10
the spe	ecification of which (check one)							
[]	is attached hereto.								
[X] was filed on <u>January 16, 2001</u> as United States Application									
	Number or PCT In	nternational Applic	eation No. 09/761,534						······································
	and was amended	on	(if applicable).	-					
includi			nd understand the contents of the ab	ove-ide	ntified	spec	ificat	tion,	
defined	I acknowledge the in 37 C.F.R. §1.56.		formation which is known by me to	be mat	erial to	pate	entab	ility a	.S
country any for	ent or inventor's certi on other than the Unite	ificate or 365(a) of ed States of Americ patent or inventor's cation on which pr	•	which d ified be ional ap	esignation by plication	ted a	t leas cking wing	t one g the l a fili	oox,
		. <u>P</u> 1	rior Foreign Application(s)	N	ority lot imed		Cert Copy ES	ified Filed N	
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
(Numb	er)	(Country)	(Day/Month/Year filed)	[]	[]	[]
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]
I hereb	y claim the benefit w	nder 35 U.S.C. §11	9(e) of any United States provision	ıal appli	cation(s) lis	sted b	elow	
60/176	,143		January 14, 2000		_				
(Applic	cation Number)		(Filing Date)						
(Applic	cation Number)		(Filing Date)						<u></u>

PCT/US00/32831		December 1, 2000	pending			
(Application Serial No.)		(Filing date)	(Status: patented, pending, abandoned)			
(Application Serial No	.)	(Filing date)	(Status: patented, pending, abandoned)			
(Application Serial No.	.)	(Filing date)	(Status: patented, pending, abandoned)			
(Application Serial No.	.)	(Filing date)	(Status: patented, pending, abandoned)			
As a named in Hamilton, Brook, Smi Customer No. 210	ith & Reynol	by appoint the attorneys ds, P.C., Two Militia Di	and/or agents associated with rive, Lexington, Massachusetts 02421-4799			
and Patricia Gran	nahan, Esq., l dge Center, (Registration No. 32,227 Cambridge, Massachuse	of Whitehead Institute for Biomedical Research, etts 02142.			
to prosecute this applic	ation and to t	ransact all business in the	Patent and Trademark Office connected therewith.			
Please send corresp	pondence to:					
[X] Customer No.	J		SMITH & REYNOLDS, P.C.			
		Fwo Militia Drive Lexington, MA 02421-4	799			
Direct telepho	1		799 Telephone No.: 781-861-6240			
-	ne calls to: _/	Lexington, MA 02421-4				
Direct facsimi I hereby declae on information and belithat willful false statem	ne calls to:A les to:A re that all state of are believe ents and the li United States	Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further tike so made are punishab Code and that such willfi	Telephone No.: 781-861-6240			
Direct facsimi I hereby declar on information and belithat willful false statem 1001 of Title 18 of the	ne calls to:A les to:A re that all state of are believe ents and the li United States	Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further tike so made are punishab Code and that such willfi	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section			
I hereby declar on information and belified that willful false statem 1001 of Title 18 of the application or any pater	ne calls to:A les to:A re that all state of are believe ents and the li United States	Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further tike so made are punishab Code and that such willficon.	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section all false statements may jeopardize the validity of the			
I hereby declar on information and belithat willful false statem 1001 of Title 18 of the application or any pater. Full name of sole or first inventorInventor's Signature	ne calls to: _A les to:A re that all state ef are believe ents and the li United States nt issued there	Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further tike so made are punishab. Code and that such willficon.	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section			
I hereby declar on information and belithat willful false statem 1001 of Title 18 of the application or any pater. Full name of sole or first inventor	ne calls to: _A les to:A re that all state of are believe ents and the li United States at issued there Qian Huan 79 Beverl	Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further t ike so made are punishab Code and that such willficon.	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section all false statements may jeopardize the validity of the			
I hereby declar on information and belithat willful false statem 1001 of Title 18 of the application or any pater. Full name of sole or first inventor	ne calls to: _A les to: _A re that all state ef are believe ents and the li United States nt issued there Qian Huan 79 Beverl Arlington	Anne J. Collins Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further t ike so made are punishab Code and that such willfi con. y Road Massachusetts 02474	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section all false statements may jeopardize the validity of the			
I hereby declar on information and belithat willful false statem 1001 of Title 18 of the application or any pater. Full name of sole or first inventorInventor's Signature	ne calls to: _A les to:A re that all state ef are believe ents and the li United States at issued there Qian Hua 79 Beverl Arlington China P.R	Anne J. Collins Anne J. Collins Anne J. Collins ements made herein of m d to be true; and further t ike so made are punishab Code and that such willfi con. y Road Massachusetts 02474	Telephone No.: 781-861-6240 Facsimile No.: 781-861-9540 y own knowledge are true and that all statements made hat these statements were made with the knowledge le by fine or imprisonment, or both, under Section all false statements may jeopardize the validity of the			

Joan F.L. Richmond 11 Palmer Street Arlington, Massachusetts 02474 U.S. Same as above	Date
11 Palmer Street Arlington, Massachusetts 02474 U.S.	
Arlington, Massachusetts 02474 U.S.	•
U.S.	
Same as above	
·	
-	
	Date
D. Pallip	Date <u>9-25-01</u>
12-16 Ellery Street, Apt. 105	
Cambridge, Massachusetts 02138	
Great Britain	
Same as above.	
Jianzhu Chen	
J. Me	Date 9/25/01
17 Stearns Road, #6	· · · · · · · · · · · · · · · · · · ·
Brookline, Massachusetts 02146	
US. P.R. China Jun	
Same as above.	
	Deborah Palliser D. Pallin 12-16 Ellery Street, Apt. 105 Cambridge, Massachusetts 02138 Great Britain Same as above. Jianzhu Chen J. Massachusetts 02146 Brookline, Massachusetts 02146 Des. P.R. China J.M.

Full name of sixth joint			
inventor, if any	Herman N. Eisen		
Inventor's Signature	Herran V. Given	Date 9/25/01	
Residence	•		
	Waban, Massachusetts 02468		
Citizenship	U.S.		
Post Office Address	Same as above.		
	nt		 -
inventor, if any	Richard A. Young		
Inventor's Signature		Date	
Residence	216 Highland Street		
	Weston, Massachusetts 02493		
Citizenship	U.S.		
Post Office Address	Same as above.		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint is claimed and for which a patent is sought on the invention entitled

DISCR	<u>IN VIVO</u> RETE DOMAIN ANI	CTL ELICITATION IS CD4 ⁺ T CELI	ON BY HEAT SHOCK PROTEIN I L-INDEPENDENT	FUSIO	N PRC	<u>TEI</u>	NS N	<u>IAPS</u>	<u>TO A</u>	
the spe	ecification of which (check one)				·				
[]	is attached hereto.									
[X]	(] was filed on <u>January 16, 2001</u> as United States Application									
	Number or PCT In	ternational Applic	ation No. 09/761,534							
	and was amended	on	(if applicable).							
includi			nd understand the contents of the about	ve-ide	ntified	spec	ificat	ion,		
defined	I acknowledge the d in 37 C.F.R. §1.56.	duty to disclose in	formation which is known by me to	be mat	erial to	pate	entab	ility a	ıS	
country any for	ent or inventor's certi y other than the Unite	ficate or 365(a) of d States of Americ patent or inventor's	ts under 35 U.S.C. 119(a)-(d) or 365 any PCT international application voa, listed below and have also identificate, or of any PCT international international scenarios.	hich d	esignat low, by	ted a	t leas cking	t one the l	oox,	
		<u>P</u> 1	rior Foreign Application(s)	N	ority lot imed			ified Filed N	!? !O	
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]	
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]	
(Numb	er)	(Country)	(Day/Month/Year filed)	_ []	[]	[]	
I hereb	y claim the benefit u	nder 35 U.S.C. §11	19(e) of any United States provisions	al appli	ication((s) li	sted ł	oelow	·.	
60/176 (Applio	,143 cation Number)		January 14, 2000 (Filing Date)							
(Applie	cation Number)		(Filing Date)				.			

-2-

PCT/US00/32831	December 1, 2000	pending
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
Hamilton, Brook, Smith & Ro Customer No. 21005, and Patricia Granahan, I	eynolds, P.C., Two Militia Esq., Registration No. 32,2	ys and/or agents associated with Drive, Lexington, Massachusetts 02421-4799 27, of Whitehead Institute for Biomedical Research,
Nine Cambridge Cen	ter, Cambridge, Massach	usetts U2142.
to prosecute this application an	d to transact all business in	the Patent and Trademark Office connected therewith.
Please send correspondence	ce to:	
[X] Customer No.	21005 HAMILTON, BROO Two Militia Drive Lexington, MA 0242	ok, SMITH & REYNOLDS, P.C. 1-4799
Direct telephone calls	to: Anne J. Collins	Telephone No.: 781-861-6240
Direct facsimiles to:	Anne J. Collins	Facsimile No.: 781-861-9540
on information and belief are be that willful false statements and	elieved to be true; and furth the like so made are punish States Code and that such w	f my own knowledge are true and that all statements made er that these statements were made with the knowledge nable by fine or imprisonment, or both, under Section illful false statements may jeopardize the validity of the
Full name of sole		
or first inventor <u>Qiar</u>	Huang	
Inventor's Signature		Date
Residence 79 E	severly Road	
Arli	ngton, Massachusetts 0247	4
Citizenship Chir	na P.R.	
Post Office Address Sam	e as above	

Full name of second jo	int		
inventor, if any	Joan F.L. Richmond		
Inventor's Signature		Date	
Residence	11 Palmer Street		
	Arlington, Massachusetts 02474		
Citizenship	U.S.		
Post Office Address	Same as above	<u> </u>	
Full name of third join	t		
inventor, if any	Bryan K. Cho		
Inventor's Signature	Buy Ch	Date	3/28/01
Residence	1680 Daily Court	,	
	Leanto San Leonardo, California 94577		
Citizenship	U.S.		
Post Office Address	Same as above.		
Full name of fourth joi	nt		
inventor, if any	Deborah Palliser		
Inventor's Signature		Date	
Residence	12-16 Ellery Street, Apt. 105		
	Cambridge, Massachusetts 02138		
Citizenship	Great Britain		
Post Office Address	Same as above.		
Full name of fifth joint	;		
inventor, if any	Jianzhu Chen		
Inventor's Signature		Date	
Residence	17 Stearns Road, #6		· ·
	Brookline, Massachusetts 02146		
Citizenshin	U.S.		

BC 3|28|01

Full name of sixth joint		
-	Herman N. Eisen	
Inventor's Signature		Date
Residence	9 Homestead Street	
	Waban, Massachusetts 02468	
	U.S.	
Post Office Address	Same as above.	
Full name of seventh joi		
	Richard A. Young	
Inventor's Signature		Date
Residence	216 Highland Street	
	Weston, Massachusetts 02493	
Citizenship	U.S.	
Post Office Address	Same as above.	

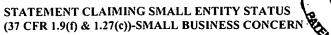
::ODMA\MHODMA\iManage;201289;1

VERIFIED STATEMENT CLAUNG SULL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 0399.2006-003

3	TO S
---	------

Hillard Or		II INO	09/761,534	2001		224.0
		d:	January 16, 2	2001	estain Eusian Pratains A	Maps to a Discrete Domain and is CD4+ T Cell-Independent
Title:		In V	IVO CIL Elicitatio	in by Heat Snock I	rotein rusion Proteins iv	Maps to a Discrete Domain and is CD4 1 Cen-macpenaent
Thereby	decla	re that I a	m an official empo	wered to act on be	alf of the nonprofit orga	anization identified below:
~C.	NAI	ME OF N	ONPROFIT ORGA	ANIZATION	Whitehead Insti	itute for Biomedical Research
٠.٨٨	y DI	DRESS O	F NONPROFIT O	RGANIZATION_		
1 5001	<u> </u>				Cambridge, Ma	ssachusetts 02142
9.	g					
TYPE O	FINO	NPROFT	Γ ORGANIZATIO	N:		
الم	₹,	IMIVE	SCITY OF OTHER	NOTITITION	F HIGHER EDUCATION	ON
IBADY,	, (]	TAXEX	EMPT LINDER IN	NTERNAL REVE	IUE SERVICE CODE ((26 U.S.C.501(a) and 501(c)(3))
['	, ,	NONPR	OFIT SCIENTIFIC	OR EDUCATIO	VAL UNDER STATUT	E OF STATE OF THE UNITED STATES OF AMERICA
	,		OF STATE			
		(CITAT	ON OF STATUTE	3		
[]					NUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) II
			ED IN THE UNIT			NAME OF STATE OF THE INDITED
[]	WOULE	QUALIFY AS N	ONPROFIT SCIE	ITIFIC OR EDUCATIO	ONAL UNDER STATUTE OF STATE OF THE UNITED
					IE UNITED STATES C	
		(NAME	OF STATE	3		
		(CITATI	ON OF STATUTI			
[g redu] (]	the speci	o the United States fication filed hereve cation identified al at identified above.	with with title as li bove.		e invention described in:
Ih	ereby	declare t	he rights under con	tract or law have	een conveyed to and ren	main with the nonprofit organization regarding the above
identified inventior other tha	l inve mus n the	ention. If t file sepa inventor,	the rights held by t rate verified statem who would not qua	he nonprofit organents averring to the alify as an indepen	zation are not exclusive eir status as small entitie lent inventor under 37 C	 e, each individual, concern or organization having rights in t es and that no rights to the invention are held by any person,
identified inventior other tha which we	inventured in the could be could in the coul	ention. If t file sepa inventor, not qualify	the rights held by t rate verified statem who would not qua as a small busines	he nonprofit organ nents averring to the alify as an indepent as concern under 3	zation are not exclusive eir status as small entitie lent inventor under 37 C CFR 1.9(d) or a nonpro	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concopit organization under 37 CFR 1.9(e).
identified inventior other tha which we Ea	inventured in the could be could in the coul	ention. If it file sepa inventor, not qualify erson, con-	the rights held by t rate verified statem who would not quay as a small busines cern or organizatio	he nonprofit organents averring to the alify as an indepense concern under 3 n having any right	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro- in the invention is listed	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concopit organization under 37 CFR 1.9(e).
identified inventior other tha which we Ea	d inventus n the ould the ch pe	ention. If t file sepa inventor, not qualify erson, con- no such	the rights held by t rate verified statem who would not qua as a small busines	he nonprofit organents averring to the alify as an indepense sconcern under 3 in having any right organization exis	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro- in the invention is listed s.	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concopit organization under 37 CFR 1.9(e).
identified inventior other tha which we Ea	I invented in the could to the	ention. If t file sepa inventor, not qualify erson, con- no such each suc	the rights held by trate verified statem who would not quay as a small busines term or organizatio person, concern of h person, concern of the person of th	he nonprofit organients averring to the alify as an indepense soncern under 3 in having any right rorganization exists or organization is	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro- in the invention is listed s. sted below.	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concofit organization under 37 CFR 1.9(e). d below:
identified inventior other tha which we Ea	I invented in the could to the	ention. If the file sepal inventor, not qualify erson, con- no such each suc	the rights held by trate verified statem who would not quay as a small business cern or organizatio person, concern of h person, concern of tressGen Biotechn	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right rorganization existor organization is alologies, Corp.	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro in the invention is listed s. sted below.	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concofit organization under 37 CFR 1.9(e). d below: achusetts Institute of Technology
identified inventior other tha which we Ea	I invented in the could to the	ention. If the file sepal inventor, not qualify erson, con- no such each suc	the rights held by the rate verified statem who would not quay as a small business cern or organization person, concern, on the person, concern of the stress Gen Biotechn 20-4243 Glanford	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right rorganization existor organization is alologies, Corp. Avenue	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro- in the invention is listed s. sted below. Massa 77 Ma	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concofit organization under 37 CFR 1.9(e). d below: achusetts Institute of Technology assachusetts Avenue
identified inventior other tha which we Ea	I invented in the could to the	ention. If the file sepal inventor, not qualify erson, con- no such each such	the rights held by the rate verified statem who would not quay as a small business cern or organization person, concern, on high person, concern of the stress Gen Biotechn 20-4243 Glanford victoria, British Co	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right rorganization existor organization is alologies, Corp. Avenue	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonpro- in the invention is listed s. sted below. Massa 77 Ma	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person. CFR 1.9(c) if that person made the invention, or by any conformation of the invention of the person of the invention of the person of the invention of the person of the invention, or by any conformation of the invention
identified invention other that which we Ea	I investigated in the state of	ention. If t file sepa inventor, not qualify erson, con- no such each suc S I	the rights held by trate verified statem who would not quay as a small business cern or organizatio person, concern of h person, concern of tressGen Biotechn 20-4243 Glanford Victoria, British Cov8Z 4B9 Canada e duty to file, in the	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right or organization exists or organization is alologies, Corp. Avenue olumbia is application or ping, the earliest of	zation are not exclusive eir status as small entitie lent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed s. sted below. Massa 77 Ma Camb	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person CFR 1.9(c) if that person made the invention, or by any concept organization under 37 CFR 1.9(e). In the description of the descriptio
identified invention other that which we have the which we have the status prints is no long.	I invented the second of the s	ention. If t file sepa inventor, not qualify erson, con- no such each suc !	the rights held by trate verified statem who would not quay as a small business term or organization person, concern, or h person, concern of the person of	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right or organization exist or organization is alologies, Corp. Avenue olumbia is application or pring, the earliest of	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed is. sted below. Massa 77 Ma Camb tent, notification of any the issue fee or any main	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person of the invention, or by any concern organization under 37 CFR 1.9(e). In the invention of the invention, or by any concern of the organization under 37 CFR 1.9(e). In the invention of the invention of the invention, or by any concern of the invention of the inventi
identified invention other that which we have the which we have the status prize is no long NAME Company of the status prize is no long the st	I invented in the could record to the could re	ention. If t file sepa inventor, not qualify erson, con- no such each suc wledge th paying, o propriate	the rights held by trate verified statem who would not quay as a small business term or organization person, concern, or h person, concern of the person of	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right or organization exist or organization is alologies, Corp. Avenue olumbia is application or pring, the earliest of Patr	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed as sted below. Massa 77 Ma Camb tent, notification of any the issue fee or any main cia Granahan, Esq.	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concept organization under 37 CFR 1.9(e). In the delay of the delay o
identified invention other that which we have the which we have the status prize is no long NAME Company of the status prize is no long the st	I invented in the state of the	ention. If t file sepa inventor, not qualify erson, con- no such each suc wledge th paying, o propriate	the rights held by trate verified statem who would not quay as a small business term or organization person, concern, or h person, concern of the person of	he nonprofit organients averring to the alify as an indepension concern under 3 in having any right or organization exist or organization is alologies, Corp. Avenue olumbia is application or pring, the earliest of Patr	zation are not exclusive eir status as small entitie dent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed is. sted below. Massa 77 Ma Camb tent, notification of any the issue fee or any main	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concept organization under 37 CFR 1.9(e). In the delay of the delay o
identified invention other that which we have the which we have the status prize is no long. NAME CONTILLE IN	I invented in the could record to control of the could record to could record to control of the control of th	ention. If t file sepa inventor, not qualify erson, con- no such each suc wledge th paying, o popropriate ERSON SI GANIZA	the rights held by trate verified statem who would not quay as a small business term or organization person, concern, or h person, concern of the person of	he nonprofit organients averring to the alify as an indepension of the alify as an indepension of the alify as an indepension of the alify and repair organization exists or organization is alologies, Corp. Avenue alumbia is application or pring, the earliest of alify and alify and alify alify and alify alify alify and alify alify alify and alify alify alify alify and alify a	zation are not exclusive eir status as small entitie lent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed s. sted below. Massa 77 Ma Camb tent, notification of any the issue fee or any main cia Granahan, Esq.	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person, CFR 1.9(c) if that person made the invention, or by any concept organization under 37 CFR 1.9(e). In discharge the description of the
identified invention other that which we have the which we have the status prize is no long. NAME CONTILLE IN	acknoor to German DF PE	ention. If t file sepa inventor, not qualify erson, con- no such each suc wledge th paying, o popropriate ERSON SI GANIZA	the rights held by the rate verified statem who would not quay as a small business of the person, concern of the person of	he nonprofit organients averring to the alify as an indepension of the alify as an indepension of the alify as an indepension of the alify and repair organization exists or organization is alologies, Corp. Avenue alumbia is application or pring, the earliest of alify and alify and alify alify and alify alify alify and alify alify alify and alify alify alify alify and alify a	zation are not exclusive eir status as small entitie lent inventor under 37 C CFR 1.9(d) or a nonproin the invention is listed in the invention in the inv	e, each individual, concern or organization having rights in the sand that no rights to the invention are held by any person of the control of the invention, or by any concern of the control of the con





DOCKET NUMBER: 0399.2006-003

Applicant or Patentee: <u>Qian Huang, Joan F.L. Richmond, Bryan K. Cho, D</u>	reborah Palliser, Jianzhu Chen, Herman N. Eisen and Richard A. Young
Application or Patent No.: 09/761,534	
Filed or Issued: January 16, 2001	
Title: In Vivo CTL Elicitation by Heat Shock Protein Fusion Protein	ns Maps to a Discrete Domain and is CD4+ T Cell-Independent
hereby state that I am the owner of the small business concern identified below:	
[X] an official of the small business concern empowered to act on	behalf of the concern identified below:
NAME OF SMALL BUSINESS CONCERNStressGen Biotect	hnologies, Corp.
ADDRESS OF SMALL BUSINESS CONCERN120-4243 Glanfor	
Victoria, British (Columbia, V8Z 4B9 CANADA
I hereby state that the above identified small business concern qualifies purposes of paying reduced fees to the United States Patent and Trademark Omay be directed to: Small Business Administration, Size Standards Staff, 409 202-205-6618.	Office. Questions related to size standards for a small business concern
I hereby state that rights under contract or law have been conveyed to a to the invention described in:	and remain with the small business concern identified above with regard
 [] the specification filed herewith with title as listed above. [X] the application identified above. [] the patent identified above. 	
invention must file separate statements as to their status as small entities. No who would not qualify as an independent inventor under 37 CFR 1.9(c) if that as a small business concern under 37 CFR 1.9(d), or a nonprofit organization Each person, concern or organization having any rights in the invention	at person made the invention, or by any concern which would not qualify under 37 CFR 1.9(e).
 no such person, concern, or organization exists. X = ach such person, concern, or organization is listed below. 	
Whitehead Institute for Biomedical Research Nine Cambridge Center Cambridge, Massachusetts 02142	Massachusetts Institute of Technology 77 Massachusetts Avenue Cambridge, Massachusetts 02139
Separate statements are required from each named person, concern, or entities. (37 CFR 1.27)	organization having rights to the invention stating their status as small
I acknowledge the duty to file, in this application or patent, notification status prior to paying, or at the time of paying, the earliest of the issue fee or a is no longer appropriate. (37 CFR 1.28(b))	n of any change in status resulting in loss of entitlement to small entity any maintenance fee due after the date on which status as a small entity
NAME OF PERSON SIGNING DANIEL L. KORPO	LINSKI
TITLE OF PERSON IF OTHER THAN OWNER PRESIDENT S	
SIGNATURE COMED & STRESS LED BIOTECHA	UOLOGIES CORP, 350-4243 GLANFORD AVE., VICTURIA BC CANADA VBZ 4B9
SIGNATURE X SAMUL A AMPORGUSCO, DATE	
•	

	J_, _,	, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Minner (Contro	scoul croshbilla o	77,44	011200130	T-524 P.04/04 Job-872
•				NIZATION	44145		DOCKET NUMBER: 0389.2006-003
Appl	içanî ot	Parentee: Qian H	iane, Joso F !	hichmond, Bryan	K. Cho. Dehorah F	Palliser Transhu (28)	n, Herman N. Eisen and Richard A. Youn
>LUR	or Par	ens No0	9/761,534	17			in, mention w. Eiven and Richard A Youn
t-Hed	ot Jeen	ed·	muary 16, 200)1			
Title:		In Vivo CT	L Elicitation b	y Heat Shock Prote	The Fusion Proteins	Manero a Diserre	Domum and is CD4" T Cell-Independent
		_	_			TO A LAMETER	Johnson and is C134. I Cell-Independent
E I MOS	A deer	are that I am an of LAME OF NONPRO	icial empower	red to uct on behulf	of the nonprofit on	unization identified Institute of Technol	below:
100	8	PACESS OF MONI	stock to OKC	ANIZATION	// MASSACHUST	rus Avenuc	
0,	- 3				Cumbridge M	ussachusens 02139	
W TYPE	OF	ONPROFIT ORGA	NIZATION:			-	
MAT A IB		UNIVERSITY (R OTHER IN	ISTITUTION OF H	igher educati	QN	
	ii	TOTAL BANK AND A STATE	U141375K 1741 F	PROFIT PROFITE	CCDIMAR AAAA	/A / E 1 A A	4 501(c)(3)) HE UNITED STATES OF AMERICA
		(CITATION OF	STATUTE				
		LOCATED IN T	ify as tax ! He united !	exempt under States of Amei	INTERNAL REVE	NUE SERVICE CO	DE (26 U.S.C 501(a) and 501(c)(3)) IF
	[]	STATES OF AM	fy as none Erica if Lo	Profit scientificated in the U	TO AS PIBLIA - MIA	NAL UNDER STA	TUTE OF STATE OF THE UNITED
		(NAME OF STA (CITATION OF	15			4 AMERICA	
			_				
of pay	nereby ng redu				Comme Lefterchitte Hir	onprofit organizatio	n as defined in 37 CFR 1.9(e) for purpose i in:
	x]	the specification is	iled herewith	with title as listed a	bovs.		
Ţ	1.	the putent identifi	rd above.				y :
other th	on must san the i vould n	file separate venti inventor, who would or qualify as a smal	ed statements d not qualify: li business cor	avening to their spa as an independent in seem under 37 CFR	nus as small entities nventor under 37 Cl 1.9(d) or a nonpro-	and that no rights to FR 1 9(c) if that pers fr organization unde	fit organization regarding the above users or organization having rights in the other invention are held by any person, on made the invention, or by any concern of 37 CFR 1.9(e)
a [uch pei	son, concern or or or no such person, co	anızanını bav	ing any rights in the	e invention is listed	below	
ĺ	x j	each such person.	enneers or ora	ianization 14 jisled b	elow		
		StressGen	Biotechnologu	es, Corp	Whiteh	ead Institute for Bio	medical Research
		120-4243 (lanford Aven	ME.	Nine C	ambridge Center	
		V8Z 4B9 (ntish Columbi Sanada	18.	Cambra	dge, Mussichusetts	02143
is no lon status pr	iser abl Joj jo b ackvo <i>n</i>	viedge the duty to the time aropriate (37 CFR	ile, in this app c of paying, th I 28(b))	lication or parent, n se earliest of the issi	onfication of any cl uc fee or any mainte	nange in status resuli munce fee due after i	ang to loss of contilement to small entity the date on which status as a small entity
		ison signinc _		Rim Filipo			
TITLE	n org	anization of I	ERSON SIG	NING PRIORI Adm	mistrator		
ADDRE	SS OF	PERSON SIGNIN	GM	SERNETUSEUS INSTRU	te of Technology, 7	7 Massachusens Av	nue, Cambridge, Massachuseus (12139
SIGNAT	URE_		16 2/ ··	Flipmin	DATE_	9/	7 /0/
ODMAW	НООМА	1:86560E' alementin	•	1	, 	7	